08-26-04



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APPLICATION NUMBER

FILING OR 371 (c) DATE

FIRST NAMED APPLICANT

ATTORNEY DOCKET NUMBER

10/809,735

03/25/2004

Desmond R. Lim

58780 (47686)

21874 **EDWARDS & ANGELL, LLP** P.O. BOX 55874 **BOSTON. MA 02205**



CONFIRMATION NO. 8185 FORMALITIES LETTER



Date Mailed: 06/14/2004

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The signature of the following inventor(s) is missing from the oath or declaration: Wang-Yuhl Oh
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is \$65 for a Small Entity

\$65 Late oath or declaration Surcharge.

Replies should be mailed to:

Mail Stop Missing Parts

Commissioner for Patents

P.O. Box 1450

Alexandria VA 22313-1450

08/27/2004 AWONDAF1 00000006 10809735

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65.00 OP

A copy of this notice MUST be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202
PART 2 - COPY TO BE RETURNED WITH RESPONSE

FEE TRANSMITTAL for FY 2004 Effective 10/01/2003. Patent fees are subject to annual revision.

X Applicant claims small entity status. See 37 CFR 1.27 TOTAL AMOUNT OF PAYMENT 120.00

Complete if Known			
Application Number	10/809,735-Conf. #8185		
Filing Date	March 25, 2004		
First Named Inventor	Desmond R. Lim		
Examiner Name	Not Yet Assigned		
Art Unit	2874		
Attorney Docket No.	58780(47686)		

Check Credit Order Order None S55.00	METHOD OF PAYMENT (check all that apply)		FEE CALCULATION (continued)				
Large Entity Small Entity Fee Pea Fee Pea		3. A	DDITIO	DNAL	FEES		
Contact	X Deposit Account: \$55.00						
Number	Deposit 04 1105					-	
Account Name The Director is authorized to: (check ell that apphy) X Charge fee(s) indicated below X Credit any overpayments X Charge fee(s) indicated below X Charge fee(s) indicated below X Charge fee(s) indicated below X Charge fee(s) indicated below. except for the filing fee 106 be above-identified deposit account. 1805 1,840¹ 1805 1,840² 1805 1,840² 1805 1,840² 1805 1,840² 1						Fee Description	Fee Paid
Charge fee(s) indicated below X Credit any overpayments 1052 50 2052 25 25 25 25 25	Deposit 5	1051	130	2051	65	Surcharge – late filing fee or oath	65.00
The Director is authorized to: (check all that apply) 1052		l				•	
X Charge any additional fee(s) or any underpayment of fee(s) 1812 2,520 1812 2,520 For filing a request for ex parte reexamination 1804 920* Requesting publication of SIR prior to 1804 920* Requesting publication of SIR prior to 1805 1,840* Requesting publication of SIR after 1805 1,840* Requestion for reply within first month 1805 1,840* Requestion for reply within first month 1805 1,840* 1805 1,840* Requestion for reply within first month 1805 1,840* 1805 1,840* 1805 1,840* 1805 1,840* 1805 1,840* 1805 1,840* 1805 1,840* 1805 1,840* 1805 1,840* 1805 1,840* 1805 1,840* 1805 1,840* 1805 1,840* 1805 1,840* 1805 1		1052	50	2052	25		1
Charge fee(s) indicated below. except for the filling fee to the above-identified deposit account.	X Charge fee(s) indicated below X Credit any overpayments	1053	130	1053	130	Non-English specification	
Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.	X Charge any additional fee(s) or any underpayment of fee(s)	1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
To the above-identified deposit account.	Charge fee(s) indicated below, except for the filing fee	1804	920*	1804	920*		
1. BASIC FILING FEE			1,840*	1805	1,840*	Requesting publication of SIR after	
Large Entity Small Entity Fee	FEE CALCULATION	·1251	110	2251	55		55.00
Fee	1. BASIC FILING FEE	1252	420	2252	210	Extension for reply within second month	
1255 1,005		1253	950	2253	475	Extension for reply within third month	
1001 770 2001 385 Utility filing fee 1002 340 2002 170 Design filing fee 1401 330 2401 165 Notice of Appeal 1402 330 2402 185 Filing a brief in support of an appeal 1402 330 2402 185 Filing a brief in support of an appeal 1402 330 2402 185 Filing a brief in support of an appeal 1402 330 2402 185 Filing a brief in support of an appeal 1402 330 2402 185 Filing a brief in support of an appeal 1403 290 2403 145 Request for oral hearing 1451 1,510 1451 1,510 Petition to institute a public use proceeding 1452 1,510 1451 1,510 Petition to revive – unavoidable 1453 1,330 2453 665 Petition to revive – una		1254	1,480	2254	740	Extension for reply within fourth month	
1003 530 2003 265 Plant filing fee 1004 770 2004 385 Reissue filing fee 1403 290 2403 145 Request for oral hearing 1451 1,510 1451 1,510 Petition to revive – unavoidable 1453 1,330 255 Petition to revive – unavoidable 1453 1,330 2501 665 Petition to revive – unavoidable 1453 1,330 2602 240 2403 2602 240 2403 2602 2403 2602 2403 2602 2403 2602 2403 2602 2403 2602 2403 2602 2403 2602 2403 2602 2403 2602 2403 2602 2403 2602 2403 2602 2403 2602 2602 2602 2602 2	111	1255	2,010	2255	1,005	Extension for reply within fifth month	
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SUBTOTAL (1) (\$) 0.00 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE Extra Fee from Fee Paid Independent 3.3** =	1003 530 2003 265 Plant filing fee	1402	330	2402	165	Filing a brief in support of an appeal	
SUBTOTAL (1) (\$) 0.00 1452 110 2452 55 Petition to revive – unavoidable 1453 1,330 2453 665 Petition to revive – unintentional 1501 1,330 2501 665 Utility issue fee (or reissue) 1502 480 2502 240 Design issue fee 1503 640 2503 320 Plant issue fee 1504 130 1460 130 Petitions to the Commissioner 1506 180 1806 180 Submission of Information Disclosure Stmt 1507 50 1807 50 Processing fee under 37 CFR 1.17(q) 1508 1809 770 2809 385 Filling a submission after final rejection (37 CFR 1.12(g)) 1509 180 2703 290 2203 145 Multiple dependent claims in excess of 30 1204 86 2204 43 Reissue independent claims over original patent over original patent 1508 1809 770 2801 385 Request for expedited examination of a design application 1509 1802 900 1802 900 Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$\$) 120.00	1004 770 2004 385 Reissue filing fee	1403	290	2403	145	Request for oral hearing	
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2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE Extra below Fee Paid Total Claims -20*** = x =	SUBTOTAL (1) (\$) 0.00	1452	110		55	Petition to revive – unavoidable	
Total Claims	(, (,	1453	1,330		665	Petition to revive - unintentional	
Total Claims		1501	1,330	2501	665	Utility issue fee (or reissue)	
Independent Claims Multiple Dependent Large Entity Small Entity Fee Fee Code (\$) 1202 18 2202 9 Claims in excess of 20 1201 86 2201 43 Independent claims over original patent 1204 86 2204 43 ** Reissue independent claims over original patent 1205 18 2205 9 ** Reissue claims in excess of 20 and over original patent SUBTOTAL (2) (\$\$) 0.00 **or number previously paid, if greater; For Reissues, see above 1480 130 1460 130 Petitions to the Commissioner 1807 50 1807 50 Processing fee under 37 CFR 1.17(q) 1806 180 1806 180 Submission of Information Disclosure Stmt Recording each patent assignment per property (times number of properties) Filing a submission after final rejection (37 CFR 1.129(a)) 1810 770 2810 385 For each additional invention to be examined (37 CFR 1.129(b)) 1802 900 1802 900 Request for Continued Examination of a design application *Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$\$) 120.00		1502	480	2502	240	Design issue fee	
Claims Multiple Dependent Large Entity Small Entity Fee Fee Code (\$) Code Code (\$) Code (\$) Code Code (\$) Code Code (\$) Code Code Code (\$) Code Code Code (\$) Code C		1503	640	2503	320	Plant issue fee	
Multiple Dependent Large Entity Small Entity Fee Fee Gode (\$) 1202 18 2202 9 Claims in excess of 20 1201 86 2201 43 Independent claims in excess of 3 1203 290 2203 145 Multiple dependent claims in excess of 20 1204 86 2204 43 ** Reissue independent claims over original patent over original patent 1205 18 2205 9 ** Reissue claims in excess of 20 1206 18 2205 9 ** Reissue claims in excess of 20 1207 18 2207 9 ** Reissue claims in excess of 20 1208 18 2208 9 ** Reissue claims in excess of 20 1209 18 2205 9 ** Reissue claims in excess of 20 1200 18 2205 9 ** Reissue claims in excess of 20 1201 18 2205 9 ** Reissue claims in excess of 20 1202 18 2205 9 ** Reissue claims in excess of 20 1203 18 2205 9 ** Reissue claims in excess of 20 1204 18 2205 9 ** Reissue claims in excess of 20 1205 18 2205 9 ** Reissue claims in excess of 20 1206 18 2205 9 ** Reissue claims in excess of 20 1207 18 2205 9 ** Reissue claims in excess of 20 1208 18 2205 9 ** Reissue claims in excess of 20 1209 1802 900 1200 1802 900 1200 1802 900 1201 18 12 12 1202 18 12 12 1203 18 12 12 1204 18 18 18 18 18 18 18 1205 18 18 18 18 18 18 1206 18 18 18 18 18 18 18 1207 28 18 18 18 18 18 1208 18 18 18 18 18 18 1209 18 18 18 18 18 1200 18 18 18 18 18 1200 18 18 18 18 18 1200 18 18 18 18 1200 18 18 18 18 1200 18 18 18 18 1200 18 18 18 1200 18 18 18 1200 18 18 18 1200 18 18 18 1200 18 18 18 1200 18 18 1200 18 18 1200 18 18 1200 18 18 1200 18 18 1200 18 18 1200 18 18 1200 18 18 1200 18 18 18 18 18 18 18 18		1460	130	1460	130	Petitions to the Commissioner	
Fee Fee Code (\$) Code (\$) Fee Description 1202 18 2202 9 Claims in excess of 20 1201 86 2201 43 Independent claims in excess of 3 1203 290 2203 145 Multiple dependent claim, if not paid 1204 86 2204 43 ** Reissue independent claims over original patent over original patent over original patent 1205 18 2205 9 ** Reissue claims in excess of 20 1206 180 2809 385 For each additional invention to be examined (37CFR 1.129(b)) 1800 900 1800 900 Request for continued Examination (RCE) or and over original patent SUBTOTAL (2) (\$) 0.00 **For number previously paid, if greater; For Reissues, see above		1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
Code (\$) Code (\$) Fee Description	Large Entity Small Entity	1806	180	1806	180	Submission of Information Disclosure Stmt	
1201 86 2201 43 Independent claims in excess of 3 1203 290 2203 145 Multiple dependent claims in fnot paid 1204 86 2204 43 ** Reissue independent claims over original patent 1205 18 2205 9 ** Reissue claims in excess of 20 and over original patent SUBTOTAL (2) (\$\$) 0.00 **or number previously paid, if greater; For Reissues, see above 1204 86 2204 43 ** Reissue independent claims over original patent 1205 18 2205 9 ** Reissue claims in excess of 20 and over original patent SUBTOTAL (2) (\$\$) 0.00 **Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$\$) 120.00	Eas Description	8021	40	8021	40		
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1205 18 2205 9 Reissue claims in excess of 20 and over original patent SUBTOTAL (2) (\$) 0.00 **or number previously paid, if greater; For Reissues, see above Other fee (specify) *Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$) 120.00	1 1	1802	900	1802	900		
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**or number previously paid, if greater; For Reissues, see above			• • •	••	ling Eco	Paid SURTOTAL (3) (e)	120.00
SUBMITTED BY (Complete (if applicable))				Jasic Fi	my ree	300101AL(3) (3)	120.00
	SUBMITTED BY					(Complete (if applicable))	

SUBMITTED BY			(Complete	(if applicable))
Name (Print/Type)	Margaret J. McLaren	Registration No. (Attorney/Agent) 53,303	Telephone	(954) 727-2600
Signature	MIMCLaren		Date	August 25, 2004

in an envelope addressed to: MS Missing	s being deposited with the U.S. Postal Service as Express Mail, Airbill No. EV 264184829 US, parts, Commissioner for Patents, P.O. Box, 1450, Alexandria, VA 22313-1450, on the date
I shown below.	
1	
	Signature: Suisulle Kathe (Priscilla Katon)
Dated: August 25, 2004	Signature: (> 1/1/2) (1/2 X = X A X A A / (Priscilla Katon)
· ·	



TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

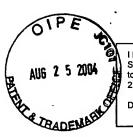
Total Number of Pages in This Submission

10/809,735-Conf. #8185 Filing Date March 25, 2004 First Named Inventor Desmond R. Lim Art Unit 2874 **Examiner Name** Not Yet Assigned Attorney Docket Number 58780(47686)

Application Number

ENCLOSURES (Check all that apply)				
X Fee Transi	mittal Form	Drawing(s)	After Allowance communication to Technology Center (TC)	
X Fee	Attached	Licensing-related Papers	Appeal Communication to Board of Appeals and Interferences	
Amendmen	nt/Reply	Petition	Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)	
After	Final	Petition to Convert to a Provisional Application	Proprietary Information	
Affid	avits/declaration(s)	Power of Attorney, Revocation Change of Correspondence Address	Status Letter	
X Extension of Time Request		Terminal Disclaimer	X Other Enclosure(s) (please Identify below):	
Express Abandonment Request		Request for Refund	Combined Declaration and Power of Attorney (Wang Yuhl Oh)	
Information Disclosure Statement		CD, Number of CD(s)	Part 2 Copy of Notice Return Receipt Postcard	
Certified C	opy of Priority			
	to Missing Parts/ Application	Remarks		
Response to Missing Parts		The second secon		
unde	er 37 CFR 1.52 or 1.53			
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT				
Firm or Individual name	Howard M. Gitten - 32 138			
Signature	9 Fresh	m July		
Date	August 25, 2004		•	

	te is being deposited with the U.S. Postal Service as Express Mail, Airbill No. EV 264184829 US. Sing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date
shown below.	
Dated: August 25, 2004	Signature: Signature: (Priscilla Katon)



I hereby certify that this correspondence is being deposited with the U.S. Postal Service as Express Mail, Airbill No. EV 264184829 US, in an envelope addressed to: MS Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Dated: August 25, 2004

Signature:

Docket No.: 58780(47686)

(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of: Desmond R. Lim et al.

Application No.: 10/809,735

Filed: March 25, 2004

For: EXTERNAL CAVITY LASER WITH MODE

CONVERTER AND HIGH INDEX CONTRAST WAVEGUIDE AND INTEGRATED WDM TRANSMITTER

Confirmation No.: 8185

Art Unit: 2874

Examiner: Not Yet Assigned

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

MS Missing Parts Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Dear Sir:

In response to the Notice to File Missing Parts of Application – Filing Date Granted mailed June 14, 2004, Applicant respectfully submits a Combined Declaration and Power of Attorney and Part 2 Copy of Notice.

Our check in the amount of \$65.00 covering the fee set forth in 37 CFR 1.16(e) is enclosed. We also enclose a check in the amount of \$55.00 to cover the one month Extension of Time requested. The Director is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should have been filed herewith (or with any

paper hereafter filed in this application by this firm) to our Deposit Account No. 04-1105, under Order No. 58780(47686). A duplicate copy of this paper is enclosed.

Dated: August 25, 2004

Respectfully submitted,

Howard M. Gitten

Registration No.: 32,138 EDWARDS & ANGELL, LLP

P.O. Box 55874

Boston, Massachusetts 02205

(954) 667-6130

Attorney for Applicant